



# **Department of Education Financial Management System (FMS) Enhancements Over 80 Hours Process**



## **FMS Enhancement Over 80 Hours Process Overview**

### **Introduction**

The Financial Management System (FMS) Enhancement Over 80 Hours Process enables the controlled and management of enhancements and change requests as they evolve in day-to-day operations and maintenance. The Enhancement Over 80 Process implements a process by which the FMS Operations Team and related Program Contacts identify, communicate, implement, document and manage system changes that require more than 80 hours to complete. When implemented, the FMS Enhancement Over 80 Hours Process ensures the integrity of FMS and the Enhancements that have been implimented.

### **Purpose**

The purpose of this Enhancement Over 80 Hours Process is to establish a sound approach to managing FMS change requests. The Enhancement Over 80 Hours Process maintains the integrity of FMS by providing a standard documented process for implementing system changes that require more than 80 hours to complete. This documentation, tracking, and implementation process integrates the technical and functional components of completing an enhancement.



## **FMS Project Overview**

The Financial Management System (FMS) is an integrated financial management system that manages the flow of financial and/or financial-related information across all of FSA's information systems. FSA FMS will incorporate Financial Management users, systems, data, and processes into useful, accurate, and timely information to be utilized across all FSA channels and stakeholders.

A consolidated financial management system for FSA will provide FSA with the ability to financially report information and statistics across Programs, consolidate redundant processes, manage cash and funding activities, and provide the ability to report to Congress and other outside organizations summary and detailed accounting on FSA grant, loan, and operational activity.

In order to overcome some of the inherent complexities and dependencies, from both a systems and organizational view, FSA has established a phased approach for implementing its new Financial Management System. Each phase will establish additional incremental benefits, will be built on prior phase success, and will move FSA towards its shared FMS vision.

FSA FMS is being implemented in phases. This phasing approach has enabled FSA to achieve measurable success in short, manageable amounts of time. In addition, implementing FMS in phases mitigates risk by approaching each development task in the same short, manageable time segment with definable and controllable milestones. The phasing is as described.

### **Phase I**

Phase I was completed on April 14, 2000. During this phase, FSA developed the anticipated design of the completed FMS and defined many of the core configuration values for FMS. Phase I demonstrated the Oracle Federal Financials application as delivered without program changes, but with some core FSA configuration and setup data input.

### **Phase II**

Phase II was operational September 29, 2000. The goal of this phase of the FSA FMS effort was to install and configure the Oracle Federal Financials packaged software product at the Virtual Data Center (VDC), which is now the basis for FSA FMS operations. The purpose of Phase II was to establish the General Ledger chart of accounts setup and account code classification structure, and establish pilot business process flows for FSA's financial transactions. This was necessary to verify the conceptual design and provide the foundation for moving forward with more of the detailed design and build of the system.

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Phase II included core accounting (General Ledger, Accounts Payable) for the FFEL Guaranty Agencies payments, and the Fixed Assets module for information technology assets tracking. Further, the LEAP/SLEAP programs were analyzed during this phase.

The second phase demonstrated the value of FMS by supporting the FFEL GA program. This program was chosen because it is relatively small and self-contained, with low transaction volume. Thus, it could be implemented with minimal disruption to current processes while demonstrating the value of the FMS financial applications (General Ledger, Accounts Payable, and Fixed Assets).

### **Phase III**

Phase III planning began in June 2000, and was fully implemented by September 30, 2001. This phase incorporated the same core accounting modules (GL, AP), for the remaining loan and grant programs and processes (Direct Loan, Campus Based Programs, Pell, LEAP/SLEAP and Debt Collection Services). Phase III enabled FSA to capture the appropriate transactions in order to produce financial statements and other important management information and statistics for these programs.

While the FSA FMS team completed Phase III, the FSA Channels worked concurrently on efforts to reengineer or replace other legacy systems. In order to proceed toward with Phase III, the integration and interfaces are being developed based on the systems that will be operational when FSA FMS Phase III goes live. The FMS schedule was coordinated with other projects' schedules to include as many reengineered or replaced systems as possible. The FMS schedule was closely coordinated with the implementation activities of EDCFO.

### **Phase IV**

Phase IV for FSA FMS, encompasses an integrated design incorporating information and processes from a number of FSA reengineered subsystems (e.g. Origination and Disbursement, Campus Based Programs, Lender Payments, etc.) and FSA operations.

One of the primary objectives of Phase IV is to develop and deploy the necessary interfaces and extensions to FSA FMS in order to be fully operational with other SFA systems that are undergoing transformation. These include the COD, Campus-based systems, and Lender Payments and Debt Collection Services initiatives. The enhancement of the use of the Accounts Receivable module will be required in order to accomplish that objective. Further, in order to modernize the funding process, Phase IV includes the development and deployment of a web-based FSA funding request portal.

A number of functional capabilities originally planned to be included in Phase IV are being excluded from this business case. They include the work efforts for incorporating FSA

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salaries and expenses into FSA FMS, implementing Oracle Purchasing, implementing a contracts management module, and further refinements to FSA FMS reporting. The timing for these work efforts will be determined at a later time by FSA CFO.

Phase IV will yield an FSA FMS system that is fully integrated with the program systems, including the reengineered source systems. Phase IV is much more dependent than the earlier phases on other IPT initiatives as well as entities external to FSA. As such, we have divided Phase IV into multiple sub-phases and releases, and incorporated some of the information available regarding these other reengineering systems projects into the scope.



## **FMS Change Request process & Configuration Management Overview**

An FMS Change Request (CR) is the means by which FMS handles system issues and enhancements originated from FSA Programs (LEAP / SLEAP, Direct Loans, Campus Based, Pell, FFEL GA & VFA, FSA CFO) or Dept. of ED. CRs are handled through the FMS Help Desk and tracked with an Access tracking database. Using this database each CR is logged in detail upon submission to FMS, and assigned a tracking number. FMS Operations currently uses a CR Form and CR Estimate Form for all request changes. These forms allow for a detailed explanation of what is needed from the FSA Program / requestor and obtains a work / cost analysis.

Configuration Management (CM) is the means through which the integrity of the design, development, and implementation is maintained. CM is implemented through six processes: change control, base lining, archival, migrations, CM audit, and reporting.

## **FMS Management**

The FMS Management Team is made up of the following individuals:

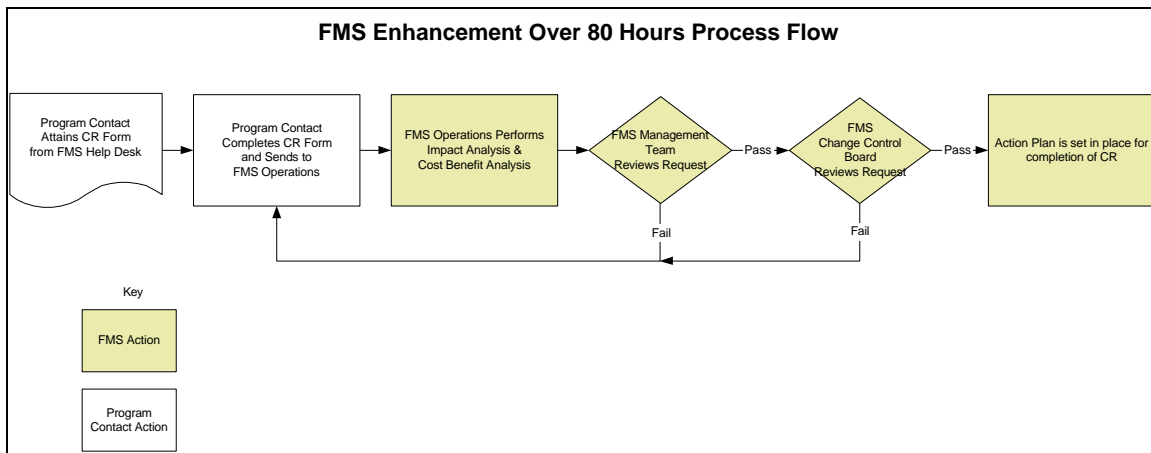
Paul Stonner	Project Manager
Shirley Singleton	Operations Manager
Ruth McIntye	Security Manager
Bill Walsleben	Contractor Project Manager
Todd Elliot	Contractor Project Manager



## **Proposed FMS Enhancement Over 80 Hours Process, Procedures and Form**

### **Process**

The following flow outlines the general FMS Enhancement Over 80 Hours Process.





### Procedures

The following outlines the FMS Enhancement Over 80 Hours Procedures to be followed by the requesting FSA or Dept. of ED Program Contact.

1. The requesting Program Contact will reach the FMS Operations Help Desk with general details of the request, to receive a Change Request (CR) Form.
  - Email: [FMS.Operations@ed.gov](mailto:FMS.Operations@ed.gov)
  - Voice Messages: 1-800-433-7327 Option 3
2. The Program Contact will complete the CR Form with thorough details of the CR, and include any additional assisting documentation. Upon completion, the CR will be submitted electronically to FMS Operations at:  
[FMS.Operations@ed.gov](mailto:FMS.Operations@ed.gov).

At this point, the request will be logged in the Access tracking database according to severity and requesting Program. The FMS Help Desk will then return a CR Number for tracking purposes to the submitting Program Contact. All requests are escalated to the FMS Management Team once they arrive at FMS Operations.

*Note: It is the responsibility of the Program Contact to submit a detailed and accurate CR Form with any assisting documentation to ensure the most detailed and accurate statement is recorded by FMS Operations. Any questions about the form should be directed to FMS Operations for clarification before submitting.*

3. The FMS Operations Team will complete an Impact Analysis and Cost Benefit Analysis on the submitted CR. The CR Form will be updated with an FMS Statement, and will include the following:
  - Time and Cost Estimates for development, testing, implementation, documentation, and training
  - Current impact on FMS and requesting Program
  - Current work around or current working system process
  - Outstanding Questions.





4. The FMS Management Team will consider each CR and align it with the following scenarios:
  - CR submitted with funding and agreed upon by FMS. Accepted.
  - CR submitted with funding but not agreed upon by FMS. Rejected.
  - CR submitted without funding but agreed upon by FMS. Accepted.
  - CR submitted without funding and not agreed upon by FMS. Rejected.
  - CR submitted that is under review for benefit / funding issues. Pending (See Procedure 5).

The outcome of the CR review will then be communicated back to the Program Contact for review.

5. If the work estimate is not clear, the requesting Program and FMS will agree to a more detailed exploration of cost analysis research for the enhancement. This analysis involves funding an additional resource to develop an accurate estimate for proposed work before review by the FMS Change Control Board.
6. The FMS Change Control Board (CCB) will meet regularly to review those CRs that have been approved by the FMS Management team and are complete with the following:
  - Detailed description and design documentation / requirements for CR
  - Funding Statement
  - Impact Statement
  - FMS Review Statement.

The CCB may accept or reject any CR.

7. Upon acceptance by the CCB, the Program Contact will be notified of the results and the appropriate action plan will be set for work completion. If the CR is rejected, the FMS Operations Team will contact the Program Contact with the Updated CR Form containing the FMS Statement and/or CCB Statement.



**Form**

The following is the FMS Enhancement Over 80 Hours Form to be completed by the requesting FSA or Dept. of ED Program Contact. The completed form is to be submitted electronically to FMS Operations at [FMS.Operations@ed.gov](mailto:FMS.Operations@ed.gov).

Draft -- FMS Change Control / Over 80 Hours Process – CR#____	
<p><i>This CR must be completed prior to review and possible approval and will be kept on record for reference. If you need a copy, it can be provided upon request.</i></p> <p>Submit this completed form via email to the FMS Operations team at <a href="mailto:FMS.Operations@ed.gov">FMS.Operations@ed.gov</a>.</p> <p>Please be as detailed as possible.</p>	
1. Change Request	
<p><b>1a. Title of Change:</b> &lt;Provide an appropriate name for this change&gt;</p>	
<p><b>1b. Detailed Description:</b> &lt;Enter a description of the change. Provide detailed bullets explaining the nature of each modification&gt;</p>	
<p><b>1c. Impact Statement:</b> &lt;Impact to other instances, accounting process, etc.&gt;</p>	
<p><b>1d. SFA Program Dependencies:</b> &lt;Enter SFA Program affected&gt;</p>	
<p><b>1e. Funding Source:</b> &lt;Enter Source of funding for Enhancement work&gt;</p>	

2. Requestor Information	
<b>Date:</b> <Enter the date of desired completion>	<b>Requestor Program:</b> <Enter FSA program name>
<b>Estimated duration of change:</b> <Enter the amount of time it is estimated to complete the task>	
<b>Priority:</b> <Enter High, Medium, or Low with an explanation>	
3. Requester Contact	
<b>a. Name:</b>	
<b>b. Work Phone Number:</b>	
<b>c. Pager Number:</b>	
4. FMS Operations Contact	
<b>a. Name:</b>	
<b>b. Work Phone Number:</b>	
<b>c. Pager Number:</b>	



The following is the FMS Statement to be completed by FMS Operations.

FMS Statement	
<b>Impact Analysis</b> <b>Current impact on FMS and FSA Program.</b>	<ul style="list-style-type: none"> <li>• Details:</li> <li>• Programs affected:</li> <li>•</li> <li>•</li> </ul>
<b>Cost Benefit Analysis</b>	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>
<b>Estimated Hours</b>	<ul style="list-style-type: none"> <li>• Documentation:</li> <li>• Training:</li> <li>• Development:</li> <li>• Testing:</li> <li>• Build:</li> <li>• Production Support:</li> </ul>
<b>Suggested Work Around or Current System Process</b>	
<b>FMS Questions / Need for more requirements.</b>	



The following is the Request for Expanded Estimate for CRs that have been deemed by the FMS Management Team to require additional cost analysis research.

<i>Request to FMS for expanded Estimate on Enhancement</i>	
<b>Description of required Estimate / work.</b>	
<b>Funding Source</b>	
<b>Requested Completion Date</b>	

The following will be used to log the outcome of the review of a CR by the CCB.

<i>FSA Change Control Board for FMS</i>	
<b>Current Status of CR</b>	
<b>Approval Comments</b>	
<b>Rejection Comments</b>	



## **Current FMS Change Request Under 80 Hours Procedures and Form**

### **Procedures:**

The following procedures outline the **current** FMS Enhancement **Under** 80 Hours Process.

***Date Created: 06/20/01***

#### FSA FMS Change Request Process

The purpose of this document is to outline the Change Request (CR) procedures that FMS Operations follows for all system releases, emergency fixes, interfacing issues, and change / enhancement submissions.

**Audience:** All programs that interact with FMS

**Guidelines:**

- I. All enhancements and bug fixes to FSA FMS must originate through the FMS CR Process.
- II. Program users must notify FMS in advance of any new feeder system releases that affect FMS.
- II. Emergency fixes will have a 48 – 72 hour turn around time.

**Procedures for FMS Change Request Process:**

1. Program users submit a completed CR Form to the FMS Operations Help Desk (Tel: 1-800-433-7327, Option #3, or Email: [fms.operations@ed.gov](mailto:fms.operations@ed.gov)). If needed, you may obtain the CR Form from the FMS Help Desk.
2. Upon submission of the CR, the FMS CR Manager logs the request in the FMS Change Request Tracking Database (all CRs are tracked and recorded in this Change Request Tracking Database).
3. The FMS CR Manager will then perform the following steps:
  - Review the CR.
  - Create an impact statement and current workaround.
  - Research and document an estimate based upon design, development, testing, training, and implementation requirements.
4. FMS Management and FMS CR Managers review all new CRs in the *Weekly Internal FMS Operations CR Meeting*. All new CRs are reviewed, prioritized, and assigned to a technical resource based upon severity and resource availability.
5. At this point, the FMS CR Manager will meet with all program stakeholders in the *Standing FMS Change Control Board Meetings* to perform the following:
  - Communicate and discuss the action plan for any new CRs (i.e., priority, assigned resources, proposed solution, estimated time of completion).
  - Review the status of existing CRs.
6. FMS CR Managers will send out an ED/FSA CR Log by program containing meeting updates on a weekly basis.
7. If the request is not an emergency then the FMS Management Team will implement the completed CRs on the designated month end day. All non-emergency requests that effect production databases are released once a month according to the configuration management plan.
8. Once a CR is completed and migrated to production, the CR Manager corresponds with the requestor contact to verify successful implementation.
9. The FMS CR Manager closes the CR in the FMS CR Tracking Database upon approval by the CR requestor and program stakeholders.



**Form:**

The following is the Current FMS Enhancement Under 80 Hours Form completed by the requesting FSA or Dept. of ED Program Contact. The completed form is submitted electronically to FMS Operations at [FMS.Operations@ed.gov](mailto:FMS.Operations@ed.gov).

SFA FMS Setup Change Request ---- CR. #	
<p align="center"><b>Submit this completed form via email to the FMS Operations team @ <a href="mailto:fms_operations@ed.gov">fms_operations@ed.gov</a></b></p> <p align="center"><i>This CR must be completed prior to implementing this change and will be kept on record for reference in the SFA FMS Operations Support folder on the FMS drive. If you need a copy, it can be provided upon request</i></p> <p align="center">Please be as detailed as possible</p>	
<b>1. Change Request</b>	
<b>1a. Title of Change:</b> <Provide an appropriate name for this change>	
<b>1b. Detailed Description:</b> <Enter a description of the change. Provide detailed bullets explaining the nature of each modification>	
<b>1c. Impact Statement:</b> <Impact to other instances, accounting process, etc.>	
<b>1d. SFA Program Dependencies:</b> <Enter SFA Program affected>	
<b>2. Requested implementation</b>	
<b>Date:</b> <Enter the Date of Migration>	<b>Time:</b> <Enter the Time of Migration>
<b>Estimated duration of change (HH:MM):</b> <Enter the amount of time it is estimated to complete the task>	
<b>Priority:</b> <Enter High, Medium, or Low with an explanation>	
<b>3. Requester</b>	
a. Name:	
b. Work Phone Number:	
c. Pager Number:	
<b>4. CFO Approver</b>	
a. Name:	
b. Work Phone Number:	
c. Pager Number:	
<b>5. FMS Operations Approver</b>	
a. Name:	
b. Work Phone Number:	
c. Pager Number:	



## **Tools for Tracking all Change Request / Enhancements**

The FMS Operations Team currently uses an Access tracking database Tool to track all Change Request and Enhancements for work both under and over 80 hours.

This Tool is located at: Path: F:\SFA FMS Production Support\Access Tracking Tool  
File: FMS Change Requestv6.mdb

The Tool allows FMS Operations to:

- Run reports at all levels of priority and FSA Program
- Assign a sequential CR number to newly entered CRs
- Run a single page view of all change request and enhancements
- Track all closed CRs.

The Tool may only be accessed by password and is owned by FMS Operations.

## **Audit Process**

An audit can be performed on the Enhancement Over 80 Hours tracking activities of FMS at anytime by running reports through the Tool. This allows verification of all items on the list and gets a status on resolution or course of development. The Tool can be accessed by contacting FMS Operations.

## **Status Reporting**

The FMS Operations Team will report on all Enhancements Over 80 Hours weekly with a log including a short description of each enhancement by FSA Program and by status. The reports can be requested by contacting FMS Operations.

03/18/02  
Version 1



### **Over 80 Hours Change Log**

Name	Date	Change
Paul Stonner	3/25/02	Initial review of draft, updates needed.
Shirley Singleton	4/04/02	Final review of draft by SS, adjustments to processes made.
Paul Stonner	5/07/02	Final review done, more updates needed to full document.
Paul Stonner	5/21/02	Final review and approval to submit.